



Docket No.: 04362/100M494-US1  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
John Van Horst et al.

Application No.: 10/826,877

Filed: April 16, 2004

For: METHOD AND SYSTEM FOR AUTOMATED  
ELECTRONIC TRADING IN FINANCIAL  
MATTERS

Confirmation No.: 1437

Art Unit:

Examiner: Not Yet Assigned

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Notice to File Missing Parts of Application – Filing Date Granted mailed June 28, 2004, Applicant respectfully submits a Combined Declaration and Power of Attorney, an Application Data Sheet, and Part 2 Copy of Notice.

Enclosed is our check covering the utility fee (\$385), extra claim fee (\$172), surcharge (\$65) set forth in 37 CFR 1.16(e). The Commissioner is authorized to charge any deficiency of up to \$300.00 or credit any excess in this fee to Deposit Account No. 04-0100.

Dated: July 27, 2004

Respectfully submitted,

By Chanah Brenenson  
Chanah Brenenson

Registration No.: 47,442  
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Attorneys/Agents For Applicant



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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$ 671.00)

Complete if Known	
Application Number	10/826,877
Filing Date	April 16, 2004
First Named Inventor	John Van. Horst
Examiner Name	Not Yet Assigned
Art Unit	N/A
Attorney Docket No.	04362/100M494-US1

**METHOD OF PAYMENT (check all that apply)**

Check  Credit Card  Money Order  Other  None

Deposit Account:

Deposit Account Number 04-0100

Deposit Account Name Darby & Darby P.C.

The Director is authorized to: (check all that apply)

- Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee

to the above-identified deposit account.

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051	65 Surcharge – late filing fee or oath
1052	50	2052	25 Surcharge – late provisional filing fee or cover sheet
1053	130	1053	130 Non-English specification
1812	2,520	1812	2,520 For filing a request for ex parte reexamination
1804	920*	1804	920* Requesting publication of SIR prior to Examiner action
1805	1,840*	1805	1,840* Requesting publication of SIR after Examiner action
1251	110	2251	55 Extension for reply within first month
1252	420	2252	210 Extension for reply within second month
1253	950	2253	475 Extension for reply within third month
1254	1,480	2254	740 Extension for reply within fourth month
1255	2,010	2255	1,005 Extension for reply within fifth month
1401	330	2401	165 Notice of Appeal
1402	330	2402	165 Filing a brief in support of an appeal
1403	290	2403	145 Request for oral hearing
1451	1,510	1451	1,510 Petition to institute a public use proceeding
1452	110	2452	55 Petition to revive – unavoidable
1453	1,330	2453	665 Petition to revive - unintentional
1501	1,330	2501	665 Utility issue fee (or reissue)
1502	480	2502	240 Design issue fee
1503	640	2503	320 Plant issue fee
1460	130	1460	130 Petitions to the Commissioner
1807	50	1807	50 Processing fee under 37 CFR 1.17(q)
1806	180	1806	180 Submission of Information Disclosure Stmt
8021	40	8021	40 Recording each patent assignment per property (times number of properties)
1809	770	2809	385 Filing a submission after final rejection (37 CFR 1.129(a))
1810	770	2810	385 For each additional invention to be examined (37CFR 1.129(b))
1801	770	2801	385 Request for Continued Examination (RCE)
1802	900	1802	900 Request for expedited examination of a design application
Other fee (specify)			
*Reduced by Basic Filing Fee Paid			SUBTOTAL (3) 105.00

**SUBTOTAL (1) (\$ 385.00)**

Total Claims 21 -20\* = 1 x \$9 = 9

Independent Claims 7 -3 = 4 x \$43 = 172

Multiple Dependent

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Extra Claims	Fee from below	Fee Paid
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Total Claims 21 -20\* = 1 x \$9 = 9

Independent Claims 7 -3 = 4 x \$43 = 172

Multiple Dependent

**Large Entity Small Entity**

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
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1202 18 2202 9 Claims in excess of 20

1201 86 2201 43 Independent claims in excess of 3

1203 290 2203 145 Multiple dependent claim, if not paid

1204 86 2204 43 \*\* Reissue independent claims over original patent

1205 18 2205 9 \*\* Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 181.00)

\*\*or number previously paid, if greater; For Reissues, see above

SUBMITTED BY		(Complete if applicable)		
Name (Print/Type)	Chanah Brenenson	Registration No. (Attorney/Agent)	47,442	Telephone (212) 527-7729
Signature	<i>Chanah Brenenson</i>	Date	July 27, 2004	



Application No. (if known): 10/826,877

Attorney Docket No.: 04362/100M494-US1

## Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. *EL996120466-05* in an envelope addressed to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

on July 27, 2004  
Date

A handwritten signature in black ink, appearing to read "D. Beck".

Signature

A handwritten signature in black ink, appearing to read "D. Beck".

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Response to Notice to File Missing Parts of Application (2 pages)  
Combined Declaration and Power of Attorney (4 pages)  
Application Data Sheet (3pgs)  
Part 2 Copy of Notice  
Recordation Form Cover Sheet (1 page)  
Assignment ( 3 pages)  
Fee Transmittal (1 page)  
Check in the amount of \$671.00

7/29/04

IFW/JH  
+D

**UNITED STATES PATENT AND TRADEMARK OFFICE**



UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/826,877	04/16/2004	John Van Horst	04362/100M494-US1

**CONFIRMATION NO. 1437****FORMALITIES LETTER**

\*OC000000013083435\*

Date Mailed: 06/28/2004

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

07/30/2004 GWORDDF1 00000005 10826877

**FILED UNDER 37 CFR 1.53(b)**

01 FC:2001	385.00 OP
02 FC:2201	172.00 OP
03 FC:2202	9.00 OP
04 FC:2051	65.00 OP

***Filing Date Granted*****Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 385 to complete the basic filing fee for a small entity.*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

The applicant needs to satisfy supplemental fees problems indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Additional claim fees of **\$181** as a small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is **\$631** for a Small Entity

- \$385 Statutory basic filing fee.
- \$65 Late oath or declaration Surcharge.
- Total additional claim fee(s) for this application is **\$181**

- \$172 for 4 independent claims over 3.
- \$9 for 1 total claims over 20.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

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*A copy of this notice **MUST** be returned with the reply.*

*TR/*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202  
PART 2 - COPY TO BE RETURNED WITH RESPONSE